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BLAKELY SOKOLOFF TAYLOR & ZAFMAN 12400 WILSHIRE BOULEVARD SEVENTH FLOOR LOS ANGELES, CA 90025-1030			MALZAHN, DAVID H	
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**BEFORE THE BOARD OF PATENT APPEALS  
AND INTERFERENCES**

Application Number: 09/966,802

Filing Date: September 28, 2001

Appellant(s): SHEIMAN ET AL.

BLAKELY SOKOLOFF TAYLOR & ZAFMAN  
For Appellant

**EXAMINER'S ANSWER**

This is in response to the appeal brief filed 15 August 2005 appealing from the Office action  
mailed 14 March 2005.

**(1) Real Party in Interest**

A statement identifying by name the real party in interest is contained in the brief.

**(2) Related Appeals and Interferences**

The examiner is not aware of any related appeals, interferences, or judicial proceedings which will directly affect or be directly affected by or have a bearing on the Board's decision in the pending appeal.

**(3) Status of Claims**

The statement of the status of claims contained in the brief is correct.

**(4) Status of Amendments After Final**

The appellant's statement of the status of amendments after final rejection contained in the brief is correct.

**(5) Summary of Claimed Subject Matter**

The summary of claimed subject matter contained in the brief is correct.

**(6) Grounds of Rejection to be Reviewed on Appeal**

The appellant's statement of the grounds of rejection to be reviewed on appeal is correct.

**(7) Claims Appendix**

The copy of the appealed claims contained in the Appendix to the brief is correct.

**(8) Evidence Relied Upon**

### **(9) Grounds of Rejection**

The following ground(s) of rejection are applicable to the appealed claims:

Claims 1, 7, 13 and 19-22 stand rejected under 35 U.S.C. 102(b) as being anticipated by Sakata et al (Sakata).

Sakata discloses both an apparatus and a method for time varying filtering, i.e. the filtering function is varied as a function of time by changing the values of the filtering coefficients, by disengaging and engaging filters by changing the values of the filter coefficients from an initial set (defining a first filter) to a final set (defining a second filter) via a graduated or intermediate sequence of steps wherein successive sets of filter coefficients are determined via interpolation to smoothly move from the first filter to the second filter, note the abstract.

Figs. 1 and 18 of Sakata illustrate two embodiments of time varying filtering wherein a desired operating point, i.e. cutoff frequency,  $f_c$ , defines a particular filter by defining the values of a set of filter coefficients, e.g. Fig. 2 illustrates the Digital Filter, 108, of Fig. 1 as an IIR filter which receives a plurality of samples at the INPUT and with the coefficients  $b_1$ ,  $b_2$  and  $K$  being a function of  $f_c$ . The coefficients  $b_1$  and  $b_2$  are retrieved from memory as a function of  $f_c$ , note Fig. 4, and  $K$  is computed from  $b_1$  and  $b_2$ , note Fig. 2. The interpolation process of moving from a first  $f_c$  (i.e. first filter) to a second  $f_c$  (i.e. second filter) is illustrated in Fig. 7.

Claim 1 may be read on Sakata in the following manner:

Claim 1

Sakata

“time varying filtering”      the dynamic control of the filter results in time varying filtering, note the abstract

“filtering a segment of      Fig. 2 shows a filter wherein the INPUT is a succession of samples

a signal using a filter” wherein one or more samples may be considered a segment of a signal

“disengaging the filter when  $F_c$  is changed from  $f_{c1}$  to  $f_{c2}$  the filter defined by  $f_{c1}$  is in a sequence of is disengaged in a sequence of graduated steps, via interpolation, and graduated steps at the the disengagement is complete when the set of coefficients defined end of the segment” by  $f_{c2}$  have become effective which defines the end of the segment

“repeating steps a and the filter defined by  $f_{c2}$  does the filtering until a new cutoff b”, i.e. the filtering and frequency  $f_{c3}$  is defined which results in disengaging the filter the disengaging defined by  $f_{c2}$

Relative to claim 7 the “engaging a filter in a sequence of graduated steps at the beginning of a signal segment” corresponds to Sakata’s changing the cutoff frequency from  $f_{c1}$  to  $f_{c2}$  which results in the engaging of the filter defined by  $f_{c2}$  at a sample in the INPUT signal which defined the beginning of the segment.

Claims 13 and 19-21 may be read on Sakata in a manner similar to claims 1 and 7 as detailed above.

Relative to claim 22 the “migrating the coefficients” clearly corresponds to changing from one set of coefficients to another set of coefficients and relative to “inaudibly switching” Sakata uses coefficient interpolating to “smoothly move” the operating point of the filter, note the second to last line of the abstract. In column 1, lines 33-40, Sakata states that if the coefficients change instantly “then noise occurs, giving rise to a serious problem in the sound generating application”, clearly indicating that “inaudible switching “ is desired.

### **(10) Response to Argument**

Contrary to appellants' argument as set forth in paragraph A, the abstract of Sakata does provide a *prima facie* case of anticipation. Nevertheless Figs. numbers and columns with lines numbers have been identified to add to the "factual basis".

Relative to appellants' argument dealing with a single, physical filter, Sakata's filter functions as a first filter when the operating point is fc1 and as a second filter when the operating point is fc2.

Relative to appellants' argument relative to disengaging and engaging a filter, Sakata disengage the filter defined by fc1 and engages the filter defined by fc2 when the operating point of the filter changes from fc1 to fc2.

Relative to appellants' argument dealing with "disengaging a filter at the end of a segment" and "engaging a filter at the beginning of a segment", Sakata's INPUT, Fig. 2, receives a sequence of samples of a signal with the above "end of a segment" corresponding to a point in the sequence of samples of the signal when the filter defined by fc1 is disengaged and with the above "beginning of a segment" corresponding to a point in the sequence of samples of the signal when the filter defined by fc2 is engaged.

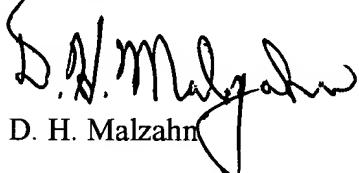
Relative to appellants' argument relative in "inaudibly switching" note that Sakata calls for "interpolating to smoothly move the operating point of the digital filter", second to last line of the abstract and that lines 33-40 of column 1 call for the switching to avoid noise because the noise results in "giving rise to a serious problem in the sound generating application" which implies "inaudibly switching".

**(11) Related Proceeding(s) Appendix**

No decision rendered by a court or the Board is identified by the examiner in the Related Appeals and Interferences section of this examiner's answer.

For the above reasons, it is believed that the rejection should be sustained.

Respectfully submitted,

  
D. H. Malzahn

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